

P30916.A02

Application No.: 10/599,576

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Applicant(s) : Sakae KOYATA et al.

Group Art Unit: Not yet known

Appln. No. : 10/599,576  
(U.S. National Phase of PCT/JP2005/005527)

Examiner: Not yet known

I.A. Filed : March 25, 2005

Confirmation No.: 1978

For : ALKALINE ETCHANT FOR CONTROLLING SURFACE ROUGHNESS OF  
SEMICONDUCTOR WAFER

### INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
U.S. Patent and Trademark Office  
Customer Service Window, Mail Stop Amendment  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Sir:

In accordance with the duty of disclosure under 37 C.F.R. 1.56, 1.97, and 1.98, Applicants hereby bring the following information to the attention of the Examiner, which includes information cited and discussed in the International Search Report issued in connection with International Application No. PCT/JP2005/005527. Copies of the International Search Report (in English and Japanese) were enclosed with the papers when entering the National Stage on October 2, 2006. The Examiner is invited to review these materials to inspect the relevance indicated during international examination with respect to the documents cited therein:

- (1) JP 2003-229392 A (Shin-Etsu Handotai Co., Ltd.), August 15, 2003, together with an English language abstract thereof, along with English language family member U.S. Pat. Pub. No. 2004/072437 A1.

- (2) JP 9-306897 A (Mitsubishi Material Silicon Kabushiki Kaisha), November 28, 1997, together with an English language abstract thereof;
- (3) JP 63-221967 A (Fujitsu Ltd.), September 14, 1988, together with an English language abstract thereof;
- (4) JP 2001-185529 A (Wacker Siltronic Gesellschaft fur Halbleiter), July 06, 2001, together with an English language abstract thereof, along with English language family member U.S. Pat. Pub. No. 6,530,381 B1;
- (5) JP 2002-203824 A (Super Silicon Crystal Research Institute Corp.), July 19, 2002, together with an English language abstract thereof;
- (6) JP 2003-7672 A (Toshiba Ceramics Co., Ltd.), January 10, 2003, together with an English language abstract thereof;
- (7) JP 11-171693 A (Shin-Etsu Handotai Co., Ltd.), June 29, 1999, together with an English language abstract thereof, along with English language family member U.S. 6,099,748; and
- (8) JP 11-162953 A (Mitsubishi Material Silicon Kabushiki Kaisha), June 18, 1999, together with an English language abstract thereof.

Applicants also bring to the attention of the Examiner the following commonly assigned copending application:

- (9) U.S. Patent Application No.10/596,177, filed on June 2, 2006.

In accordance with 37 C.F.R 1.98, copies of the U.S. patents, U.S. published patent applications, and U.S. patent applications are not enclosed herewith. However, if any copies are needed, the Examiner is respectfully requested to contact the undersigned.

Copies of the above-noted documents, except for U.S. patents, U.S. published patent applications, and U.S. patent applications, are enclosed together with a duly completed Form PTO-1449. The Examiner is accordingly requested to consider each of these documents, and to make them of record in this application by initialing in the appropriate spaces on the Form PTO-1449. Applicant respectfully requests that the Examiner include a copy of the initialed Form PTO-1449 with the next communication from the U.S. Patent and Trademark Office.

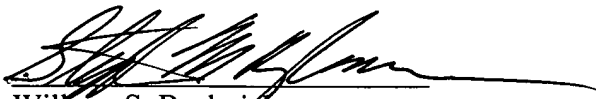
In addition, if the above-noted U.S. Patent Application publishes or issues as a patent, Applicants respectfully requests that the Examiner complete the record by listing the publication(s) on a Form PTO-892.

Applicant notes that an Office Action on the merits has not issued in the present application, and thus no fee is believed necessary to ensure consideration of the submitted material. However, if an Office Action on the merits has issued and is crossing this statement in the mail, the undersigned hereby authorizes the Commissioner to charge any fee necessary for the consideration of this statement, including any payment under 37 C.F.R. §1.17 (p) to Deposit Account No. 19-0089.

Should there be any questions, the Examiner is invited to contact the undersigned at the below listed telephone number.

January 10, 2007  
GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
Reston, VA 20191  
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Respectfully submitted,  
Sakae KOYATA et al.

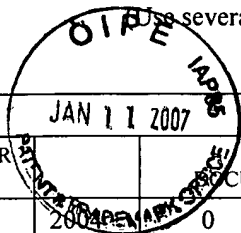
  
William S. Boshnick  
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Stephen M. Roylance  
Reg. No. 31,296

FORM PTO-1449

U.S. Department of Commerce  
Patent and Trademark OfficeAtty. Docket No.  
P30916Application No.  
10/599,576INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(Use several sheets if necessary)

Applicant  
Sakae KOYATA et al.Filing Date  
10/02/06Group  
Not yet known

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	2004-072437	04/15/04	IIZUKA et al.			
	6530381	03/11/03	SCHWAB et al.			
	6099748	08/08/00	NETSU et al.			

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
2003	- 2 2 9 3 9 2	08/15/03	JAPAN			
9	- 3 0 6 8 9 7	11/28/97	JAPAN			
63	- 2 2 1 9 6 7	09/14/88	JAPAN			
2001	- 1 8 5 5 2 9	07/06/01	JAPAN			
2002	- 2 0 3 8 2 4	07/19/02	JAPAN			
2003	- 7 6 7 2	01/10/03	JAPAN			
11	- 1 7 1 6 9 3	06/29/99	JAPAN			
11	- 1 6 2 9 5 3	06/18/99	JAPAN			

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

1	English language abstract of JP 2003-229392 A
2	English language abstract of JP 9-306897 A
3	English language abstract of JP 63-221967 A
4	English language abstract of JP 2001-185529 A
5	English language abstract of JP 2002-203824 A
6	English language abstract of JP 2003-7672 A
7	English language abstract of JP 11-171693 A
8	English language abstract of JP 11-162953 A
9	U.S. Patent Application No. 10/596,177, filed June 2, 2006.

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.